



## City of Chicago Board of Ethics 2021 Statement of Financial Interests Instructions and Definitions

**A. Who Must File?** Article III of the Governmental Ethics Ordinance requires "reporting individuals" to file a Statement of Financial Interests with the Board of Ethics by the close of business on Friday, May 3, 2021. "Reporting individuals" are:

- (i) Each elected City official;
- (ii) Each appointed City official, except a member of an agency that is solely advisory in nature and has no authority to make binding decisions, to enter into contracts or to make expenditures, other than expenditures necessarily incurred for research in connection with its advisory functions;
- (iii) Each Mayor's office employee who is not solely clerical (as the term "clerical" is defined in §2-156-010 (e-2) of the Municipal Code);
- (iv) Each "City Council employee" who is not solely clerical (as the term "clerical" is defined in §2-156-010 (e-2) of the Municipal Code) – **please note also, that the term "City Council employee," as defined in §2-156-010(d-1) of the Municipal Code, means not only individuals employed full-time by an alderman, City Council committee, or other City Council bureau or service agency, but also part-time employees or individuals retained as independent contractors by them;**
- (v) Each person who qualifies as candidate for City elected office; and
- (vi) The following City employees:
  - \* Department or agency heads;
  - \* Deputy and assistant commissioners or directors;
  - \* Chief financial and accounting directors;
  - \* Chief grant coordinators or program managers;
  - \* Police personnel with the rank of Lieutenant and above, and Shakman-exempt civilians;
  - \* Fire Department personnel with the rank of Battalion Chief and above, and Shakman-exempt civilians;
  - \* Employees with policy-making authority, or decision-making responsibilities for negotiating, authorizing or approving the performance of City contracts, leases or land use applications;
  - \* Employees who are responsible for inspecting or licensing any person or entity;
  - \* Employees whose primary duty is to invest public funds;
  - \* Employees who direct, supervise or manage 20 or more other City employees

**B. When Must They File?** Reporting individuals must file within 30 days of when they first become a reporting individual, and then before the close of business of May 1 of each year thereafter in which they are reporting individuals. **Failure to file by the deadline constitutes a violation of City Ordinance (§2-156-190(a)), which subjects the reporting individual to disciplinary action, including discharge, fines, and public disclosure of the violator's name and violation. The deadline is 11:59:59 p.m. May 3, 2021.**

**C. Definitions.** The following terms on the Statement are marked with an asterisk because they have specially defined meanings:

**1. City contractor\*** means any person (including his agents or employees acting within the scope of their employment) who is paid from the City treasury or pursuant to City ordinance, for services to any City agency, regardless of the nature of the relationship of such individual to the City for purposes other than this chapter A "city contractor" shall not include officials and employees.

**2. Doing Business\*** means any one or any combination of sales, purchases, leases, or contracts to, from, or with the City or any City agency in an amount in excess of \$10,000 in any twelve consecutive months.

**3. Domestic Partner\*** means a "qualified domestic partner" as defined in section 2-152-072 of the Municipal Code of Chicago.

**4. Financial Interest\*** means an interest held by an official or employee that is valued or capable of valuation in monetary terms with a current value of more than \$1,000.00, provided that such interest shall not include: (1) the authorized compensation paid to an official or employee for any office or employment; or (2) a time or

demand deposit in a financial institution; or (3) an endowment or insurance policy or annuity contract purchased from an insurance company; or (4) any ownership through purchase at fair market value or inheritance of the shares of a mutual fund corporation, regardless of the value of or dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended; or (5) any ownership through purchase at fair market value or inheritance of not more than one-half of one percent of the outstanding common stock of the shares of a corporation, or any corporate subsidiary, parent or affiliate thereof, regardless of the dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended.

**5. Gift\*** means anything of value given without fair-market consideration.

**6. Person\*** refers to any individual, entity, corporation, partnership, firm, association, union, trust, estate, as well as any parent or subsidiary of any of the foregoing, whether or not operated for profit.

**7. Professional Services\*** means services in any occupation requiring advanced or specialized education and training, including without limitation law, accounting, insurance, real estate, engineering, medicine, architecture, dentistry, banking, finance, public relations, education or consulting.

**8. Relative\*** means a person who is related to an official, candidate for city office, or employee as spouse or as any of the following, whether by blood or by adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister, half-brother or half-sister.

**D. Answering Question 2.** Question 2 asks whether, in the previous year, you served as an employee, officer, director, associate, partner, proprietor or in any advisory capacity for **any** business or organization **other than the City of Chicago** from which you derived more than \$1,000 in income. **This means you must list any position you had in 2020 from which you derived more than \$1,000 in income or compensation, even if you had no paid position with the City in 2020. For many appointed officials, this will mean their primary job.** Therefore, answer “no” *only* if you were *not* employed by or had no position with *any* person other than the City of Chicago in the previous year, or did not derive more than \$1,000 in income or compensation from any such employer, etc. in the previous calendar year. *Example:* John Smith was employed full-time by ABC, Inc. in 2020, and received \$70,000 in compensation from it in 2020. He did not become a City employee or official until February 2020. On Question 2 on his 2021 form, he must still disclose ABC, Inc. and categorize his 2020 income from it.

**E. Question 15.** Note that question 15 has a new scope: it asks whether you have any relatives who are registered as lobbyists with any governmental unit within the State of Illinois, not just with the City of Chicago.

#### **F. Other Information.**

1. The information you provide in the Statement is subject to verification by you. If you knowingly provide false or misleading information, you can be disciplined or discharged from your job or office.

2. By law, filed Statements of Financial Interests are available for examination and duplication by anyone upon request. Your home address and social security and/or City payroll number (if on the form) will be deleted if your Statement is viewed. **Please note, however, that you will not receive notice either of the request or information about the requestor.** Forms filed in 2013 and after are posted on the Board’s website, with appropriate deletions to protect privacy.

3. Please call (312) 744-9660 with any questions. If you choose to file on paper, send the printed, completed, signed form to: **City of Chicago Board of Ethics, 740 North Sedgwick, Suite 500, Chicago, IL 60654.**

4. A receipt is sent to each person who has filed a Statement of Financial Interests with our office.

**5. PLEASE DO NOT CONFUSE THIS FORM WITH THE STATEMENT OF ECONOMIC INTERESTS THAT MANY CITY EMPLOYEES AND OFFICIALS MUST FILE ANNUALLY BY MAY 1 WITH THE COOK COUNTY CLERK’S OFFICE. THEY ARE TWO SEPARATE FILING REQUIREMENTS, PURSUANT TO TWO SEPARATE LAWS.**

**BOARD OF ETHICS  
740 NORTH SEDGWICK, SUITE 500  
CHICAGO, IL 60654  
(312) 744-9660  
[www.chicago.gov/Ethics](http://www.chicago.gov/Ethics)**

**twitter: @ChicagoEthicsBd**